

09-18-00

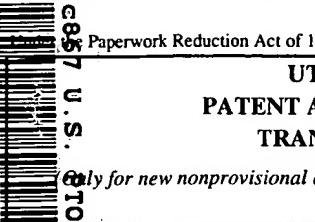
DISK / A

PTO/SB/05 (2/98)

Approved for use through 09/30/00. OMB 0651-0032

Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Please type a plus sign (+) inside this box



Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>	
<i>Only for new nonprovisional applications under 37 CFR 1.53 (b)</i>	

Attorney Docket No.	38-21 (51376)B
First Named Inventor or Application Identifier	Corbin, David R.
Title	BACILLUS THURINGIENSIS CHROMOSOMAL GENOME SEQUENCES AND USES THEREOF
Express Mail Label No.	EK016827222US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. <input checked="" type="checkbox"/> *Fee Transmittal Form (Form PTO-1082) <i>(Submit an original and a duplicate for fee processing)</i>	6. <input type="checkbox"/> Microfiche Computer Program <i>(Appendix)</i>
2. <input checked="" type="checkbox"/> Specification [Total Pages 312]	7. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i>
- Descriptive title of the Invention	a. <input checked="" type="checkbox"/> Computer Readable Copy
- Cross References to Related Applications	b. <input type="checkbox"/> Paper Copy (identical to computer copy)
- Statement Regarding Fed sponsored R and D	a. <input type="checkbox"/> Statement verifying identity of above copies
- Reference to Microfiche Appendix	
- Background of the Invention	
- Brief Summary of the Invention	
- Brief Description of the Drawings (if filed)	
- Detailed Description	
- Claims	
- Abstract of the Disclosure	
3. <input type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets _____]	
4. Oath or Declaration [Total Pages _____]	
a. <input type="checkbox"/> Newly executed (original or copy)	8. <input type="checkbox"/> Assignment Papers (cover sheet document(s))
b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 17 completed)</i>	9. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i>
[Note Box 5 below]	10. <input type="checkbox"/> English Translation Document <i>(if applicable)</i>
i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).	11. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations
<input type="checkbox"/> Incorporation By Reference <i>(useable if Box 4b is checked)</i> The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.	12. <input type="checkbox"/> Preliminary Amendment
	13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Two) <i>(should be specifically itemized)</i>
	14. <input type="checkbox"/> *Small Entity Statement(s) <input type="checkbox"/> Statement filed in prior application, status still proper and desired
	15. <input type="checkbox"/> Certified Copy of Priority Document (s) <i>(if foreign priority is claimed)</i>
	16. <input type="checkbox"/> Other:

\*NOTE FOR ITEMS 1 and 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. §1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. §1.28).

## If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

17.  Continuation  Divisional  Continuation-in-part (CIP) of prior application No:

Prior Application Information: Examiner: Group/Art Unit:

## 18. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label  Correspondence address below  
(Insert Customer No. or attach Bar Code Label here)

NAME	Timothy K. Ball, PhD			
ADDRESS	Patent Department, E2NA; Monsanto Company, 800 N. Lindbergh Boulevard			
CITY	St. Louis	STATE	Missouri	ZIP CODE
COUNTRY	US	TELEPHONE	(314) 737-7387	FAX (314) 737-6047

Name (Print/Type)	Timothy K. Ball, PhD	Registration No.	42287
Signature	Timothy K. Ball, PhD	Date:	Sept. 15, 2000

Burden Hour Statement. This form is estimated to take 2 hours to complete. Time will vary depending on the needs of the individual cases. Any comments on the amount of time you require to complete this form should be sent to the Office of Assistance Quality and Enhancement Division, Patent and Trademark Office, Washington, DC 20231, and to the Office of Information and Regulatory Affairs, Office of Management and Budget (Project 0651-0037), Washington, DC 20503. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Washington, DC 20231.

by Jian S. Zhou (Reg. No. 41,422)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL

## for FY 1999

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$ 1,906.00)

Complete if Known

Application Number	
Filing Date	
First Named Inventor	David R. Corbin
Examiner Name	To Be Assigned
Group / Art Unit	
Attorney Docket No.	38-21(51376)B

U.S. PTO  
09/15/00  
HC 25  
66379

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number **13-4125**

Deposit Account Name \_\_\_\_\_

 Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- 2.
- 
- Payment Enclosed:

 Check     Money Order     Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	760	201 Utility filing fee	690.00
106	310	206 Design filing fee	
107	480	207 Plant filing fee	
108	760	208 Reissue filing fee	
114	150	214 Provisional filing fee	

SUBTOTAL (1) (\$ 690.00)

## 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
50	-20* = 30	x 18	= 540
Independent Claims	10	- 3* = 7	x 78 = 546
Multiple Dependent			= 0

\*\*or number previously paid, if greater; For Reissues, see below

## Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
103	18	203 9 Claims in excess of 20	
102	78	202 39 Independent claims in excess of 3	
104	260	204 130 Multiple dependent claim, if not paid	
109	78	209 39 ** Reissue independent claims over original patent	
110	18	210 9 ** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$ 1,086.00)

## 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 Surcharge - late filing fee or oath	0.00
127	50	227 Surcharge - late provisional filing fee or cover sheet.	0.00
139	130	139 Non-English specification	0.00
147	2,520	147 For filing a request for reexamination	0.00
112	920*	112 Requesting publication of SIR prior to Examiner action	0.00
113	1,840*	113 Requesting publication of SIR after Examiner action	0.00
115	110	215 Extension for reply within first month	0.00
116	380	216 Extension for reply within second month	0.00
117	870	217 Extension for reply within third month	0.00
118	1,360	218 Extension for reply within fourth month	0.00
128	1,850	228 Extension for reply within fifth month	0.00
119	300	219 Notice of Appeal	0.00
120	300	220 Filing a brief in support of an appeal	0.00
121	260	221 Request for oral hearing	0.00
138	1,510	138 Petition to institute a public use proceeding	0.00
140	110	240 Petition to revive - unavoidable	0.00
141	1,210	241 Petition to revive - unintentional	0.00
142	1,210	242 Utility issue fee (or reissue)	0.00
143	430	243 Design issue fee	0.00
144	580	244 Plant issue fee	0.00
122	130	122 Petitions to the Commissioner	130.00
123	50	123 Petitions related to provisional applications	0.00
126	240	126 Submission of Information Disclosure Stmt	0.00
581	40	581 Recording each patent assignment per property (times number of properties)	0.00
146	760	246 Filing a submission after final rejection (37 CFR § 1.129(a))	0.00
149	760	249 For each additional invention to be examined (37 CFR § 1.129(b))	0.00

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

SUBTOTAL (3) (\$ 130.00)

Reduced by Basic Filing Fee Paid

## SUBMITTED BY

Name (Print/Type)	Jian S. Zhou	Registration No. (Attorney/Agent)	41,422	Telephone	314-694-8908	
Signature					Date	Sept. 15, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

JC925 U.S. PTO  
09/663779  
09/15/00



In re application of:

**David R. Corbin et al.**

Appln. No.: To Be Assigned

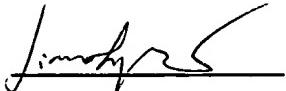
Filed:

For: **Bacillus thuringiensis Chromosomal Genome Sequences and Uses thereof**

Art Unit: To Be Assigned  
Examiner: To Be Assigned  
Atty. Docket: 38-21(51376)B

I hereby verify this transmittal together with the patent application referred to below is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 Express Mail Label No. EKO16827222US on the date indicated and is addressed to:  
Commissioner for Patents, Washington, D.C. 20231

Jian S. Zhou Registration No. 41,422



Date: Sept. 15, 2000

**TRANSMITTAL OF NON-PROVISIONAL PATENT APPLICATION**

Commissioner for Patents  
Washington, D.C. 20231

*Box Patent Application*

Sir:

Transmitted herewith for filing under 37 C.F.R. §1.53(b) is the complete patent application of :

**BACILLUS THURINGIENSIS CHROMOSOMAL GENOME SEQUENCES AND USES THEREOF**

Inventors: **David R. CORBIN**  
**Thomas M. Malvar**  
**Hridayabhiranjan Shukla**

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. Utility Patent Application Transmittal (PTO/SB/05);
2. Form PTO-1082 (in duplicate);

3. U.S. Utility Patent Application entitled:

**BACILLUS THURINGIENSIS CHROMOSOMAL GENOME SEQUENCES  
AND USES THEREOF**

and naming as inventors:

David R. CORBIN, Thomas M. MALVAR, and Hridayabhiranjan SHUKLA  
the application consisting of:

- a. A specification containing:

- (i) 304 pages of a description prior to the claims;  
(ii) 7 pages of claims (50 claims); and  
(iii) a one (1) page abstract;

4. A CD-ROM containing the Sequence Listing;

5. Petition to Suspend Sequence Rules (in duplicate); and

6. Two (2) return postcards.

It is respectfully requested that the two attached prepaid postcards be stamped with the filing date and unofficial application number and returned as soon as possible.

Respectfully submitted,



Timothy K. Ball, PhD Esq (Reg. No. 42,287)  
Jian S. Zhou, PhD (Reg. No. 41,422)

Enclosures

Date: Sept. 15, 2000

Patent Department, E2NA  
Monsanto Company  
St. Louis, MO 63167  
Tel: 636-737-7387  
Fax: 636-737-6047